



**Office of Enterprise Compliance Report - Matrix
February 2008**

Attachment A

	DATE OF ASSIGNMENT	STATUS
1. Personnel Update	Completed	A Compliance Area Manager for the Investments business line was hired in January 2008.
2. Program Activities	Ongoing	<p>The CCO conducted one session of New Employee Orientation, CalPERS "Working Values" in December.</p> <p>The CCO attended the National Society of Compliance Professional Inc. West Coast Regional Meeting in January. Topics covered included: Investment Advisors' Conflicts of Interest, Developing, Testing and Maintaining Business Continuity Plans, and Dialogue with Area Regulators.</p>
3. Reporting Non-Compliance Issues	Ongoing	Ongoing
4. Enterprise Compliance Risk Assessment	Ongoing	ECOM staff analyzing division's compliance self-assessments and developing an Executive-level summary, including recommendations for enterprise-wide risk management priorities.



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5. Compliance Area Manager- Investments	Ongoing	Compliance Area Manager (CAM), Investments is monitoring daily and providing weekly summary of compliance alerts to CCO. User access to automated systems monitored and monthly reconciliation reports reviewed. Worked with CalPERS Investments Office and Legal Office on Investment policy review.
6. Compliance Area Manager-Health	Ongoing	Work with Health business line to assess risk of non-compliance with policies, rules, and regulations to determine compliance exposures and impact to CalPERS.



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7. Compliance Area Manager- Pension	Ongoing	<p>Work with Pension business line to assess risk of non-compliance with policies, rules, and regulations to determine compliance exposures and impact to CalPERS.</p> <p>Identified "Best Practice" internet research tool which provides daily updates on federal legislation and regulations, and in-depth reports on major legislative and regulatory issues.</p> <p>Pension CAM joined as a new member with the Society of Corporate Compliance and Ethics. Membership provides information regarding compliance conferences as well as access to reports and publications on best practice for compliance-related issues.</p>